

Atty. Dkt. No. 018889-0156

*IN THE UNITED STATES PATENT AND TRADEMARK OFFICE*

Applicant: Hiroyasu KOIZUMI et al.  
Title: HEAT EXCHANGER CORE,  
AND METHOD OF  
ASSEMBLING THE HEAT  
EXCHANGER CORE  
Appl. No.: 09/461,211  
Filing Date: 12/15/1999  
Examiner: J. Ford  
Art Unit: 3753

Request for Initialed 1449

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Upon consideration of the allowance in this case, Applicants noted that the initialed PTO-1449 Form for the Information Disclosure Statement filed on July 6, 2000 was not returned to the Applicants. Upon inquiry, the examiner currently in charge of the application provided Applicants' representative with a partially initialed form, which appears to have been completed in December 2000, but was not returned to the Applicants. In that IDS, references A3 and A6-A9 were crossed out. References A3, A8, and A9 were already cited in other places, including in PTO-892 Forms already provided by the Patent Office. Therefore, these references were already considered in connection with the present application.

However, A6 and A7 have not been identified as being formally considered. The partially initialed PTO-1449 form states that the references fail to comply with the

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requirements of 37 C.F.R. § 1.98(a)(3), i.e., statement of relevance. This is incorrect for two reasons. First, the IDS was filed to cite certain references that arose in connection with the prosecution of the counterpart European application. Applicants included a copy of the European Search Report and indicated that this report included what was considered relevant. MPEP, section 609 states in part that "Where the information listed is not in the English language, but was cited in a search report or other action by a foreign patent office in a counterpart foreign application, the requirement for a concise explanation of relevance can be satisfied by submitting an English-language version of the search report or action which indicates the degree of relevance found by the foreign office."

Second, as explained in the IDS itself, Applicants submitted the U.S. counterpart references to references A6 and A7. Those two references, A1 and A2, respectively, have already been considered by the Patent Office. Indeed, the U.S. counterpart to reference A7 was U.S. Patent No. 5,868,198 to Kato, which was discussed in numerous places in the prosecution.

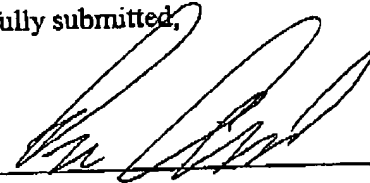
In short, the requirements for a concise statement of relevance have been fully met in this case. The Patent Office is requested to provide an initialed PTO-1449 Form, initialing references A6 and A7. Should the Examiner have any questions in this regard, he is respectfully requested to contact the undersigned.

Respectfully submitted,

Date

March 16, 2005

By



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EXCHANGER CORE

Inventor(s): Hiroyasu KOIZUMI et al.

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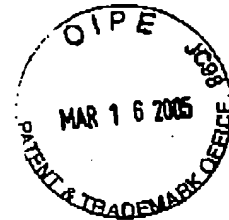
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PKA (3/16/05)

- Request for initialed 1449 (2 pgs.)

Date Filed: **MAR 16 2005**

Insp. By: *[Signature]*



*[Handwritten initials]*

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(MODIFIED) PATENT AND TRADEMARK OFFICE 018889/0156 09/461,211

INFORMATION DISCLOSURE CITATION JUL 16 2000

(Use several sheets if necessary)

APPLICANT: Hiroyasu KOIZUMI et al.

FILING DATE: 12/15/1999 GROUP ART UNIT: 3743

**U.S. PATENT DOCUMENTS**

EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE IF APPROPRIATE
OK	A1	5,894,885	04/98	PAQUET	165	134.1	
OK	A2	5,868,188	02/99	KATO	165	153	
	A3	5,285,872	11/93	AOKI	165	148	
OK	A4	5,862,162	09/97	FUKUOKA et al.	165	41	
OK	A5	5,535,819	07/95	MATSUURA	165	148	

**FOREIGN PATENT DOCUMENTS**

REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION YES	TRANSLATION NO
A6	0,840,082	05/95	EUROPE				X
A7	188 00 943	08/98	GERMANY				X
A8	4-244986	08/93	JAPAN				Abstr
A9	5-248783	08/93	JAPAN				Abstr
OK A10	3-279798	12/91	JAPAN				Abstr
OK A11	8-085541	03/97	JAPAN				Abstr
OK A12	61-25734	02/88	JAPAN				Abstr

**OTHER DOCUMENTS (including Author, Title, Date, Pertinent Pages, Etc.)**

EXAMINER: C. A. HENSON DATE CONSIDERED: 12/15/99

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include any copy of this form with notification to applicant.

\* Reference previously cited on PTO-892 in Paper No. 5.  
 \* References fail to comply with 37 CFR 1.98(a)(3).  
 \* Only the Abstract has been considered since the rest of the reference is not in English.

John Ford

6/05